



FEDERAL TRANSIT ADMINISTRATION

Region IV

Federal Perspective: Regional Transit Programs and Operational Insights



U.S. Department of Transportation
Federal Transit Administration

AGENDA

- WHO WE ARE
- WHAT WE DO
- FTA's PROGRAMS
- FTA's NEW GRANTEE PROCESS / REQUIREMENTS
- LESSONS LEARNED ON PROGRAM OPERATIONS / OVERSIGHT

WHO WE ARE – REGION IV



Puerto Rico



Virgin Islands



WHAT WE DO

- Provide Federal Funding and Technical Assistance
- Participate in the State and local transportation planning and program development process
- Participate in NEPA Process
- Perform analyses of grantees' project justifications and applications for planning, capital and operating assistance
- Ensure designation actions from Governors for MPOs and designated recipients
- Provide technical assistance
- Review and evaluate the performance of grantees in the implementation of projects

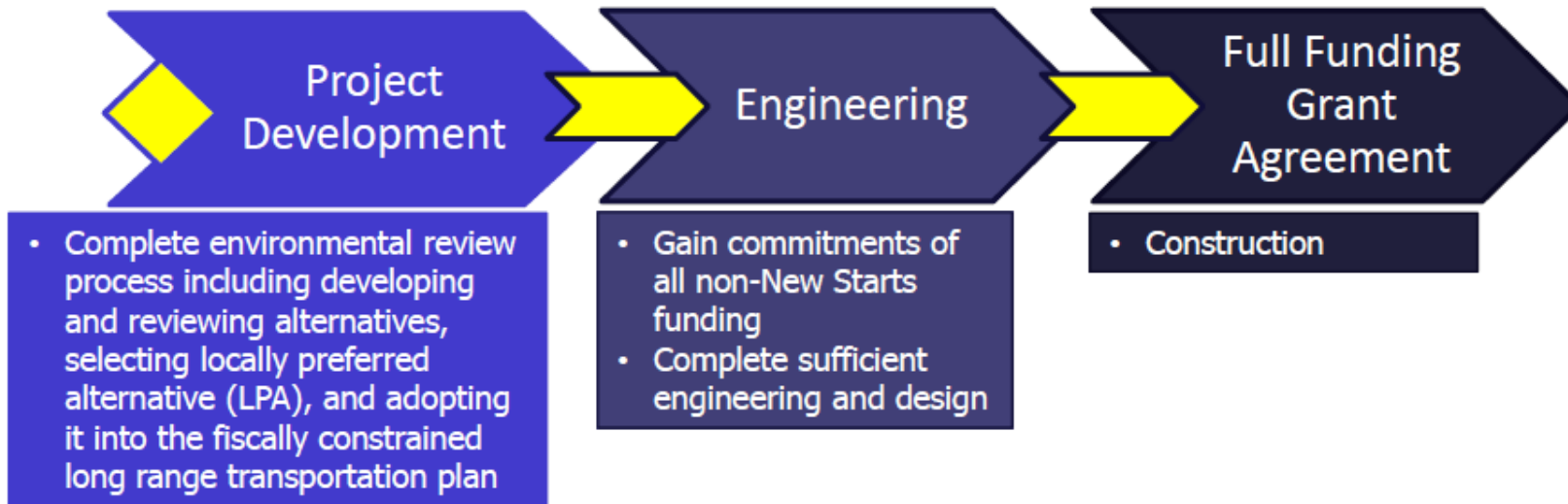
FTA PROGRAMS

- **Sections 5303, 5304 & 5305 - Metropolitan & Statewide Planning**
- **Section 5307 - Urbanized Area Formula Program**
- **Section 5307(h) - [Passenger Ferry Grant Discretionary Program](#)**
- **Section 5308 - Clean Fuels Grant Program**
- **Section 5309 - Fixed Guideway Capital Investment Grant Program**
- **Section 5310 - Elderly Individuals and Individuals with Disabilities Program**
- **Section 5311 - [Formula Grants for Rural Areas](#)**
- **Section 5311 (c)(2)(B) - [Tribal Transit Formula Grants](#)**
- **Section 5324 - Public Transportation Emergency Relief Program**
- **Section 5337 - Fixed Guideway and Fixed Motorbus**
- **Section 5339 - States/Territories and Formula Allocation**

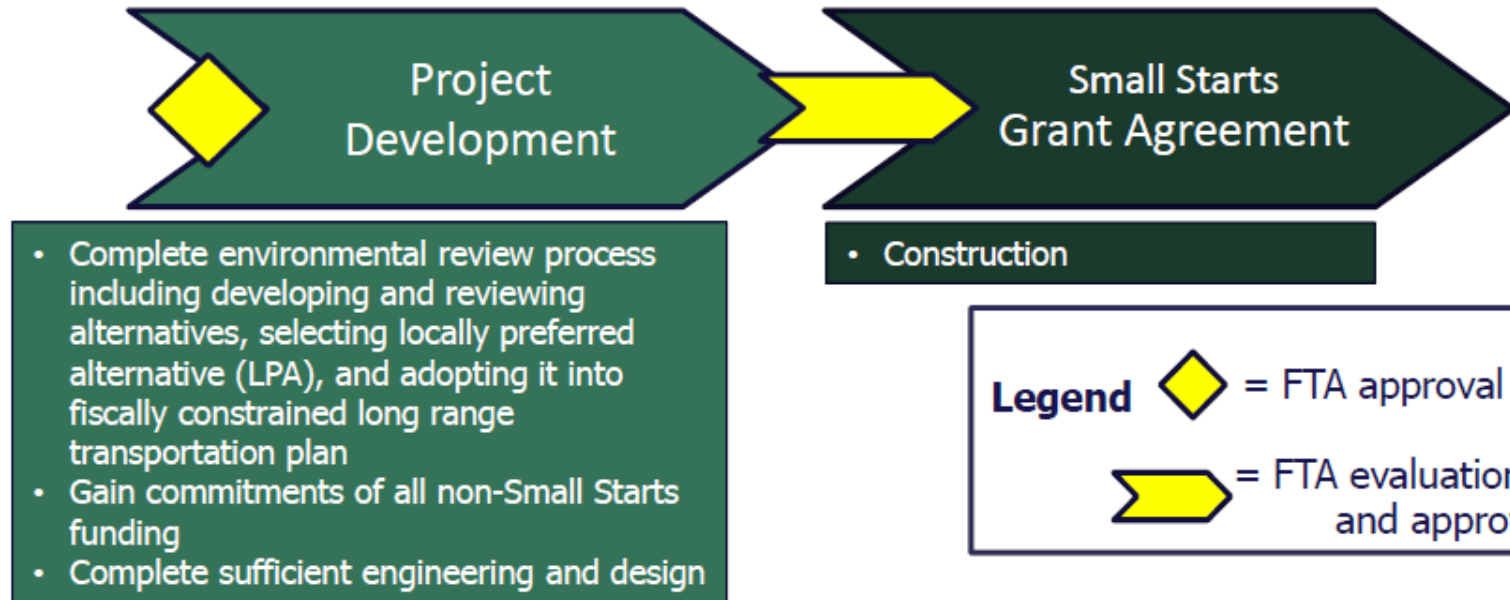
FTA PROGRAMS



- Fixed Guideway Capital Investment Grants (5309)
- Discretionary Program for:
 - New and expanded rapid rail, commuter rail, light rail, streetcars, bus rapid transit, and ferries
- 4 Categories:
 - New Starts: Estimated cost of \$300M or more / OR seeking \$100M
 - Small Starts: Estimated cost less than \$300M / AND seeking less than \$100M
 - Core Capacity: existing fixed guideway that increase capacity by not less than 10% in corridors at capacity or will be in 5 years

New Starts and Core Capacity Process



Small Starts Process



Legend  = FTA approval
 = FTA evaluation, rating, and approval

FTA' S NEW GRANTEE PROCESS / REQUIREMENTS

- Identify what types of activities
- Identify types of FTA funds
- Cite planning basis for activities
 - Feasibility study, Long Range Transportation Plan, State-wide Transportation Improvement Program
- Identify point of contact

FTA' S NEW GRANTEE PROCESS / REQUIREMENTS

- Demonstrate Legal Capacity
 - Eligible and authorized under State or Local law to request, receive, and spend FTA funds
 - Opinion of Counsel: identifies legal authority, such as statutes or legislation. Annual certification and assurances required.
 - Authorizing Resolution: executed by the governing body to demonstrate the applicant has authority to file an official grant application

FTA' S NEW GRANTEE PROCESS / REQUIREMENTS

- Demonstrate Financial Capacity
 - Must be able to match and manage FTA funds
 - Must be evident of financial capacity and proposed project financing
 - Identify source of local share and its availability at time of drawdown of FTA funds

FTA' S NEW GRANTEE PROCESS / REQUIREMENTS

- General Financial Condition – historical trends and current experience
 - Questionnaire for current and past financial standing
 - Current year operating and capital budget
 - Two most recent years of single audit reports
 - Desk Procedures (cash management, accounts payable, payroll processing, etc.)
- Financial Capability – sufficiency, stability, and reliability of revenue sources
 - 3 to 5 Year Financial Plan

FTA' S NEW GRANTEE PROCESS / REQUIREMENTS

- Demonstrate Technical Capacity
 - Ability to carryout and manage Federal grants
 - Questionnaire – current services provided, policies and procedures in place
 - Organizational Chart
 - Triennial Review – every 3 years review performance for urbanized area formula funds
- Compliance with Civil Rights
 - Title VI Plan, EEO Plan, DBE Plan and Triennial Goals
 - ADA and Environmental Justice

FTA' S NEW GRANTEE TIMELINE

ACTION	AGENCY	ESTIMATED TIME
Compilation / Development of required New Grantee documents	New Grantee	30 days
FTA Review Period: New Grantee Documents	FTA	30 days
New Grantee Response to FTA review comments	New Grantee	30 days
Approval of Legal/Technical/Financial/Civil Rights Requirements	FTA	14 days
System Access Documentation Development	New Grantee	14 days
System Access Documentation Processing	FTA	14 days
Confirmation of New Grantee Process Complete	FTA	14 days
TOTAL ESTIMATED TIME		~ 5 Months

LESSONS LEARNED PROGRAM OPERATIONS / OVERSIGHT

- Repeat Deficiencies
 - Procurement
 - ADA
 - DBE
 - Maintenance
 - Planning/Program of Projects
 - Technical Capacity
 - Drug Free Workplace and Drug and Alcohol Program
 - Financial Management and Financial Capacity
 - Satisfactory Continuing Control